

SELECTED FCM FINANCIAL DATA AS OF
August 31, 2013
FROM REPORTS FILED BY
October 20, 2013

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3								in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation	
4														Accounts	
5				(a)	(b)		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
7	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	8/31/2013	473,546,898	126,916,852	346,630,046	2,421,304,031	2,155,844,919	265,459,112	136,526,442	97,450,568	39,075,874	0
8	2	ADM INVESTOR SERVICES INC	FCM	CBOT	8/31/2013	273,152,612	159,487,997	113,664,615	3,247,709,972	3,023,968,059	223,741,913	219,407,917	152,330,252	67,077,665	0
9	3	ADVANTAGE FUTURES LLC	FCM	CME	8/31/2013	22,232,959	11,980,457	10,252,502	490,240,063	475,496,995	14,743,068	32,786,729	30,655,181	2,131,548	0
10	4	ALPARI (US) LLC	FCMRFD	NFA	8/31/2013	22,679,022	20,022,498	2,656,524	3,825,718	1,367,638	2,458,080	4,547,017	2,708,232	1,838,785	10,449,969
11	5	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	8/31/2013	124,129,973	1,000,000	123,129,973	0	0	0	0	0	0	0
12	6	AMP GLOBAL CLEARING LLC	FCM	NFA	8/31/2013	2,508,019	1,500,000	1,008,019	42,937,031	41,518,716	1,418,315	515,240	342,644	172,596	0
13	7	BARCLAYS CAPITAL INC	FCM BD	NYME	8/31/2013	6,372,576,408	1,298,135,344	5,074,441,064	7,460,486,750	7,205,377,895	255,108,855	4,021,237,749	3,808,609,000	212,628,749	0
14	8	BGC FINANCIAL LP	FCM BD	NFA	8/31/2013	45,056,783	1,000,000	44,056,783	0	0	0	0	0	0	0
15	9	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	8/31/2013	3,421,523,700	218,566,087	3,202,957,613	2,812,198,788	2,543,727,984	268,470,804	18,293,875	2,370,873	15,923,002	0
16	10	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	8/31/2013	1,409,543,613	150,419,928	1,259,123,685	1,341,919,804	1,092,246,851	249,672,953	6,000,000	0	6,000,000	0
17	11	BNY MELLON CLEARING LLC	FCM	CME	8/31/2013	286,003,949	20,000,000	266,003,949	222,563,633	95,539,220	127,024,413	37,046,559	17,536,511	19,510,048	0
18	12	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	8/31/2013	4,679,044	1,000,000	3,679,044	0	0	0	0	0	0	0
19	13	CANTOR FITZGERALD & CO	FCM BD	CBOT	8/31/2013	221,560,825	7,194,549	214,366,276	6,234,288	1,266,887	4,967,401	0	0	0	0
20	14	CAPITAL MARKET SERVICES LLC	FCM	NFA	8/31/2013	1,944,708	1,000,000	944,708	0	0	0	0	0	0	0
21	15	CHS HEDGING INC	FCM	CBOT	8/31/2013	25,128,312	10,011,878	15,116,434	160,732,755	135,481,734	25,251,021	829,626	240,032	589,594	0
22	16	CITADEL SECURITIES LLC	FCM BD	CME	8/31/2013	365,797,100	1,000,000	364,797,100	0	0	0	0	0	0	0
23	17	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	8/31/2013	6,512,301,783	807,010,825	5,705,290,958	6,475,697,228	6,154,185,257	321,511,971	1,144,008,950	951,116,695	192,892,255	0
24	18	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	8/31/2013	8,167,976,773	2,065,386,324	6,102,590,449	8,926,766,166	7,462,504,665	1,464,261,501	3,445,974,973	2,965,350,154	480,624,819	0
25	19	CROSSLAND LLC	FCM	CBOT	8/31/2013	9,103,453	1,484,390	7,619,063	74,498,386	72,195,328	2,303,058	9,110,815	8,372,284	738,531	0
26	20	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	8/31/2013	2,999,396	1,041,576	1,957,820	65,861,347	64,749,571	1,111,776	684,673	507,263	177,410	0
27	21	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	8/31/2013	384,605,625	7,040,652	377,564,973	8,349,264	3,710,927	4,638,337	625,615	0	625,615	0
28	22	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	8/31/2013	8,929,824,740	679,139,789	8,250,684,951	14,768,283,890	14,198,359,639	569,924,251	1,178,765,489	901,065,143	277,700,346	0
29	23	DORMAN TRADING LLC	FCM	CME	8/31/2013	11,125,418	1,395,110	9,730,308	139,803,961	136,087,522	3,716,439	2,547,529	2,234,061	313,468	0
30	24	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	8/31/2013	19,760,620	5,916,819	13,843,801	179,477,593	169,320,606	10,156,987	2,201,878	1,580,711	621,167	0
31	25	E TRADE CLEARING LLC	FCM BD	NFA	8/31/2013	699,714,296	138,464,651	561,249,645	48,859,297	38,220,484	10,638,813	1,404,279	402,862	1,001,417	0
32	26	EFL FUTURES LIMITED	FCM	CME	8/31/2013	36,683,844	17,686,590	18,997,254	216,785,039	204,503,033	12,282,006	0	0	0	0
33	27	FCSTONE LLC	FCM	CME	8/31/2013	105,963,398	68,084,559	37,878,839	1,697,160,573	1,672,924,972	24,235,601	64,192,408	50,090,497	14,101,911	0
34	28	FIXI AMERICAS LLC	FCM	NFA	8/31/2013	1,661,970	1,000,000	661,970	0	0	0	0	0	0	0
35	29	FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	8/31/2013	91,054,006	26,871,435	64,182,571	0	0	0	0	0	0	147,428,704
36	30	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	8/31/2013	4,821,560	1,000,000	3,821,560	5,105,123	4,558,538	546,585	1,337,731	1,269,234	68,497	0
37	31	FRONTIER FUTURES INC	FCM	NFA	8/31/2013	1,989,376	1,000,000	989,376	26,487,718	25,559,370	928,348	0	0	0	0
38	32	FXDIRECTDEALER LLC	FCMRFD	NFA	8/31/2013	23,364,530	20,869,596	2,494,934	0	0	0	0	0	0	27,391,929
39	33	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	8/31/2013	51,536,188	24,963,621	26,572,567	140,299,208	133,741,521	6,557,687	4,470,179	3,038,934	1,431,245	109,272,410
40	34	GFI SECURITIES LLC	FCM BD	NFA	8/31/2013	14,442,353	1,000,000	13,442,353	0	0	0	0	0	0	0
41	35	GH FINANCIALS LLC	FCM	CME	8/31/2013	9,735,472	1,000,000	8,735,472	2,402,319	1,744,071	658,248	473,180	373,078	100,102	0
42	36	GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	8/31/2013	2,942,170	1,000,000	1,942,170	0	0	0	0	0	0	0
43	37	GOLDMAN SACHS & CO	FCM BD	CBOT	8/31/2013	15,389,009,301	2,031,299,361	13,357,709,940	18,899,996,206	18,340,907,743	559,088,463	8,956,601,797	8,294,881,440	661,720,357	0
44	38	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	8/31/2013	2,060,014,082	125,971,537	1,934,042,545	1,537,287,696	962,258,164	575,029,532	75,928,420	29,645,534	46,282,886	0
45	39	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	8/31/2013	81,631,568	1,283,286	80,348,282	0	0	0	0	0	0	0
46	40	HSBC SECURITIES USA INC	FCM BD	CME	8/31/2013	1,006,902,477	122,940,219	883,962,258	975,314,404	901,678,905	73,635,499	85,387,839	68,002,067	17,385,772	0
47	41	IBFX INC	RFED	NFA	8/31/2013	28,257,206	23,142,067	5,115,139	0	0	0	0	0	0	72,841,348
48	42	INSTINET LLC	FCM BD	NFA	8/31/2013	108,787,354	2,727,682	106,059,672	0	0	0	0	0	0	0
49	43	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	8/31/2013	34,107,790	20,203,199	13,904,591	0	0	0	0	0	0	14,063,980
50	44	INTERACTIVE BROKERS LLC	FCM BD	NFA	8/31/2013	1,773,545,724	265,675,076	1,507,870,648	2,232,361,220	2,029,696,274	202,664,946	397,710,317	294,082,378	103,627,939	38,631,305
51	45	IRONBEAM INC	FCM	NFA	8/31/2013	2,355,690	1,000,000	1,355,690	42,500,203	41,147,249	1,352,954	111,311	4,263	107,048	0
52	46	ITG DERIVATIVES LLC	FCM BD	NFA	8/31/2013	5,344,705	1,000,000	4,344,705	0	0	0	0	0	0	0
53	47	JEFFERIES BACHE LLC	FCM	CBOT	8/31/2013	242,273,000	128,849,360	113,423,640	2,120,400,000	2,020,726,000	99,674,000	192,314,000	120,864,000	71,450,000	0
54	48	JP MORGAN CLEARING CORP	FCM BD	NFA	8/30/2013	6,617,707,578	1,744,125,283	4,873,582,295	918,748,194	660,139,874	258,608,320	810,483,562	572,075,380	238,408,182	0
55	49	JP MORGAN SECURITIES LLC	FCM BD	CEI	8/31/2013	14,391,378,001	1,907,110,258	12,484,267,743	18,909,687,595	17,003,537,011	1,906,150,584	3,692,485,621	3,288,227,013	404,258,608	0
56	50	KNIGHT CAPITAL AMERICAS LLC	FCM BD	CME	8/31/2013	393,564,515	21,299,514	372,265,001	524,422,450	507,983,223	16,439,227	11,125,109	7,709,553	3,415,556	35,990,275
57	51	LEK SECURITIES CORPORATION	FCM BD	NFA	8/31/2013	8,629,040	1,500,000	7,129,040	10,391,116	9,251,390	1,139,726	0	0	0	0

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2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3								in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation	
4														Accounts	
5				(a)	(b)		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
123															
124	(a): FCM:	Futures Commission Merchant that is registered with the Commodity Futures Trading Commission;													
125	BD:	The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;													
126	RFED:	Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission;													
127	FCMRFD:	The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.													
128															
129	(b): DSRO:	Designated Self-Regulatory Organization.													
130															
131	(c): A firm's net capital requirement is the greater of:														
132															
133															
134															
135															
136															
137															
138															
139															
140	(d):	Excess net capital is adjusted net capital, less the firm's net capital requirement.													
141															
142	(e):	This represents the total amount of money, securities, and property held in segregated accounts for futures and options customers in compliance with Section 4d of the Commodity Exchange Act.													
143															
144	(f):	This represents the total amount of funds that an FCM is required to segregate on behalf of customers who are trading on a designated contract market or derivatives transaction execution facility. This is the sum of all accounts that contain a net liquidating equity.													
145															
146	(g):	Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.													
147															
148	(h):	This represents the total amount of money, securities, and property held in secured accounts for futures and options customers who trade on commodity exchanges located outside the United States in compliance with Part 30 of the Commodity Exchange Act.													
149															
150	(i):	This represents the amount of funds an FCM is required to set aside for customers who trade on commodity exchanges located outside of the United States.													
151															
152	(j):	Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.													
153															
154	(k):	This represents the total amount of funds at an FCM, RFED, or FCMRFD that would be obtained by combining all money, securities and property deposited by a retail forex customer into a retail forex account or accounts, adjusted for the realized and unrealized net profit or loss.													